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~~Substitute for form 1449A/PTO~~

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary.)

Sheet 1 of 2

<i>Complete if Known</i>	
<i>Application Number</i>	10/627,626
<i>Filing Date</i>	2003-07-28
<i>First Named Inventor</i>	Steven M. H. WALLMAN
<i>Art Unit</i>	3694
<i>Examiner Name</i>	Daniel Lawson Greene
<i>Attorney Docket Number</i>	10392/460043

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	1	5126936	06-30-1992	Champion, R., et al.	
	2	5155847	10-13-1992	Kirouac, D., et al.	
	3	5918217	06-29-1999	Maggioncalda, J., et al.	
	4	5960411	09-28-1999	Hartman, P., et al.	
	5	6018722	01-25-2000	Ray, K., et al.	
	6	6021397	02-01-2000	Jones, C., et al.	

Examiner Signature		Date Considered	
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FOREIGN PATENT DOCUMENT

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***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT CONTINUED <i>(Use as many sheets as necessary)</i>				Application Number	10/627,626
				Filing Date	2003-07-28
				First Named Inventor	Steven M. H. WALLMAN
				Art Unit	3964
				Examiner Name	Daniel Lawson Greene
Sheet	2	of	2	Attorney Docket Number	10392/460043

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
	7	95 th CONGRESS, 1 ST SESSION COMMITTEE PRINT, Report on Banks Securities Activities of the Securities and Exchange Commission Pursuant to Section 11A(e) of the Securities and Exchange Act of 1934 (public Law 94-29), August 1977, pp. 3-101, US Government Printing Office, Washington, D.C.			^T ²
	8	COLBY, ROBERT L. D., Response to March 14, 1988 letter regarding "Exchange Act" from SPIRER, KENNETH S., April 14, 1988, pp. 1-12, Securities and Exchange Commission, Office of Chief Counsel, Division of Market Regulation, Washington, D.C.			
	9	ENGEL, LOUIS, et al., How to Buy Stocks, Eighth Edition, Little, Brown and Company, 1994, pp.123-127, Canada.			
	10	ELGIN, PEGGIE R., SPDR web ensnares both active, passive fund managers. (Standard & Poor's 500 Depository Receipts) (Investments & Benefits), Corporate Cashflow Magazine, December 1, 1993.			
	11	MERRILL LYNCH, PIERCE, FENNER & SMITH INC., Merrill Lynch announces a break for the small investor, 1974.			
	12	PERHAM, JOHN C., Stock Exchange Explains Its Pay-As-You-Go Plan, Barron's National Business and Financial Weekly (1942-Current file), August 24, 1953, 33,34 p. 6.			
	13	ROSENBLAT ALAN, Response to October 19, 1971 letter regarding The "Plan" from REAVIS MCGRATH, April 19, 1972, pp. 1-5, Securities and Exchange Commission, Office of Chief Counsel, Division of Corporate Regulation, Washington, D.C.			
	14	ROSENBLAT, ALAN, Response to December 5, 1974 Letter to SEC from BARON, NEIL D., November 23, 1975, pp. 1-8, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C., 1975 Westlaw 11120.			
	15	ROSENBLAT, ALAN, Response to December 5, 1974 Request for No-Action letter from BARON, NEIL D., November 23, 1975, pp. 1-14, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C.			
	16	ROSENBLAT, ALAN, Response to letters of May 7, 1973 and May 13, 1973 regarding Investment Data Corporation and SEC No-Action Letter from DUDLEY, JOHN A., June 15, 1973, pp. 1-7, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C., 1973 Westlaw 6859.			
	17	ROSENBLAT, ALAN, Response to October 19, 1971 Letter to SEC from REAVIS & MCGRATH, May 21, 1972, pp. 1-3, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C., 1972 Westlaw 12253.			
	18	SHARPE, WILLIAM F., The Sharpe Ratio, The Journal of Portfolio Management, Fall 1994, New York, N.Y.			

Examiner Signature	/Daniel Greene/	Date Considered	11/09/2009
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

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